



Form PTO-1449

Docket Number

Application Number

23449-009

09/524,253

Applicant(s)
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Joseph G. GATTO

<b>Filing Date</b>	03/20/2025
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Group Art Unit

March 13, 2000

3624

## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

Pages, Etc.)  
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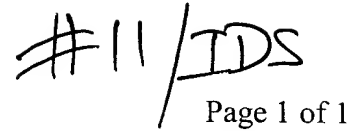
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N <sub>1</sub>	A	<a href="https://www.invesars.com/home.asp">https://www.invesars.com/home.asp</a> (printed 3/26/01)
↑	B	I/B/E/S Internation Inc., Active Express
	C	The Journal of Finance, Vol. XXXIII, March 1978, No. 1
	D	The Predictive Value of Interim Reports for Improving Forecasts of Future Quarterly Earnings, April 1978
	E	Financial Analysts Journal/Jan. - Feb. 1996 "Analyst Forecasting Errors and their Implications for Security Analysis: An Alternative Perspective"
	F	The Journal of Portfolio Management "Analysts can Forecast Accuragely" Brown et al.
	G	Journal of Forecasting, Vol. 2 325-330 1983) "Perspective on Forecasting Research in Accounting and Finance"
	H	Journal of Accounting Research , Vol. 24 Supplement 1986 "Evidence on the Incremental Information Content of Additional Firm Dsisclosures made Concurrently with Earnings" Hoskin et al.'
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↓	J	The Journal of Finance, Vol. LIV, No. 5 Oct. 1999, "What os the Intrinsic value of the Dow", Lee et al.
N <sub>2</sub>	K	The Journal of Finance, Vol. XLIX, No. 3 July 1993 "Market Integration and Prive Execution for NYSE-Listed Securities

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	N	The Review of Financial Studies 1993, Vol. 6, No. 2 pp. 345-374 "Spreads, Depths, and the Impact of Earnings Information: An Intraday Analysis"
	O	International Journal of Forecasting, Vol. 11, No. 3 (1995) pp.361-500
	P	Financial Analysts Journal, Jan/Feb 1996
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	A1	"A Journal of Accounting, Finance and Business Studies" Vol. 30, No. 1 March 1994
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	D1	The CPA Journal May 1995
	E1	International Journal of Forecasting, Vol. 12, No. 1 (1996) pp.1-192
	F1	Journal of Accounting Research Vol. 25, No. 1 Spring 1987
	G1	International Journal of Forecasting Vol. 7, No. 3 (1991) pp. 257-408
	H1	Journal of Accounting Research Vol. 29, No. 2 1991
	I1	The Accounting Review Quarterly Journal of the American Accounting Association Vol. LX April 1985 No. 2
	J1	The Journal of Portfolio Management Vol. 23, No. 4 Summer 1997
	K1	Journal of Accounting Research Vol. 38, No 1 Spring 2000
	L1	The Accounting Review, Vol. 68, No. 3, July 1993
	M1	Journal of Accounting Research Vol. 17, No. 2 Autumn 1979
	N1	Journal of Business Finance & Accounting, Vol. 19, No. 4 June 1992
	O1	Journal of Accounting Research Vol. 23, No. 1 Spring 1985
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	V1	CA Magazine April 1996
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	X1	The Journal of Finance, Vol. 55, No. 5 October 2000
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N-1	Z1	Journal of Accounting & Economics, Vol. 15, No. 2/3 June/Sept. 1992

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↑	B2	Accounting Horizons Vol. 10, No. 4, December 1996
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	D2	"Profiling From Predicting Earnings Surprise", Brown et al. 1998
	E2	"Enhancing Earnings Predictability Using Individual Analyst Forecasts", Herzberg et al. Summer 1999
	F2	"Do Stock Prices Fully reflect the Implications of Current Earnings for Future Earnings for AR1 Firms" Brown et al. 2000
	G2	"The Information Content of Analyst Stock Recommendations" Kirsche et al. 8/8/00
	H2	<a href="http://www.findarticles.com/m4PRN/1999_Oct_14/56284107/p1/article.jhtml">http://www.findarticles.com/m4PRN/1999_Oct_14/56284107/p1/article.jhtml</a> (printed 2/5/01)
	I2	<a href="http://my.zacks.com/?ALERT+www.zacks.com">http://my.zacks.com/?ALERT+www.zacks.com</a> (printed 2/2/01)
	J2	<a href="http://www.cianet.com">http://www.cianet.com</a> (printed 2/5/01)
	K2	<a href="http://www.factset.com">http://www.factset.com</a> (printed 2/5/01)
	L2	<a href="http://www.iexchange.com">http://www.iexchange.com</a> (printed 2/5/01)
	M2	<a href="http://www.validea.com/home/home.asp">http://www.validea.com/home/home.asp</a> (printed 2/5/01)
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↓	O2	"Predicting Individual Analyst Earnings Forecast Accuracy", Brown et al. 9/29/99
N-1	P2	The Journal of Finance Vol. XLIX, No. 1 March 1994
EXAMINER	N. Subramaniam	
	DATE CONSIDERED	8/18/03

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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FORM PTO-1449  
(REV. 7-80)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

## LIST OF MATERIALS CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.:  
56351.000009

SERIAL NO.:

09/524,253

INVENTOR'S NAME:

Joseph G. GATTO

EXAMINER:

Not Yet Assigned

FILING DATE:

March 13, 2000

GROUP:

Not Yet Assigned

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER								DATE	NAME	CLASS	SUB-CLASS	FILING DATE
N.A.	A	5	6	0	8	6	2	0		3/4/97	Lundgren			
	B	5	9	4	6	6	6	6		8/31/99	Nevo et al.			
	C	5	8	5	2	8	1	1		12/22/98	Atkins			
	D	5	9	1	1	1	3	6		6/8/99	Atkins			
	E	5	6	1	3	0	7	2		3/18/97	Hammond et al.			
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	H	5	7	7	4	8	8	1		6/30/98	Friend et al.			
	I	5	7	7	4	8	8	0		6/30/98	Ginsberg			
	J	5	9	0	9	6	6	9		6/1/99	Havens			
	K	5	5	0	0	7	9	5		3/19/96	Powers et al.			
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N.A.	N	3	2	7	0	1	9	0		8/30/66	Lambert			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER								DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
														YES	NO
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EXAMINER

N. Abramson

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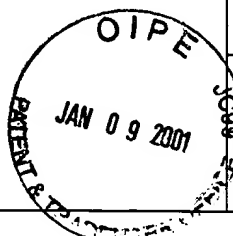
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PATENT AND TRADEMARK OFFICE

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ATTY. DOCKET NO.:  
56351.000009  
INVENTOR'S NAME:  
Joseph G. GATTO  
FILING DATE:  
3/13/00

SERIAL NO.:  
09/524,253  
EXAMINER:  
to be assigned  
GROUP:  
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*EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	CLASS	SUB-CLASS	FILIN G DATE
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N.J.		5	8	6	4	8	7	1	1/26/99	Kitain et al.			
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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
													YES	NO

OTHER MATERIALS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER N. Subramanian

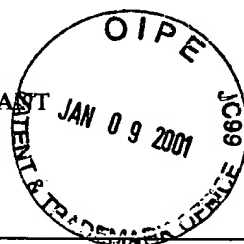
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PATENT AND TRADEMARK OFFICE

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56351.000009SERIAL NO.:  
09/524,253INVENTOR'S  
NAME:  
Joseph G. GATTOEXAMINER:  
to be assignedFILING DATE:  
3/13/00GROUP:  
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## U.S. PATENT DOCUMENTS

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## FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTR Y	CLAS S	SUB- CLAS S	TRANSLATION
					YES NO

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↑	BROWN et al. Composite Analyst Earnings Forecasts: The Next Generation. Journal of Business Forecasting. Summer of 1990. Vol. 9 Issue 2.
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N-1	MOZES et al. Modeling Earnings Expectations Based on Clusters of Analyst Forecasts The Journal of Investing Spring 1999

EXAMINER

N. Subramaniam

DATE CONSIDERED

8/18/03

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# Electronic Information Disclosure Statement



## SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM AND METHOD

Application:



09/524253

Confirmation: 7026

Applicant(s): Joseph GATTO

Docket  
Number: 23449-009

Group Art  
Unit: 3624

Examiner: Charles R. Kyle

search string: ( 5006998 or 5132899 or 5502637 or 5675746 or 5749077 or 5918217 or 5948054 or 5950176 or 5956691 or 6012042 or 6012043 or 6021397 or 6064986 or 6119103 or 6125355 or 6154732 or 6236980 or 6253192 or 6317726 or 6370516 or 20020019791 or 20020022988 or 20020082966 ).pn.

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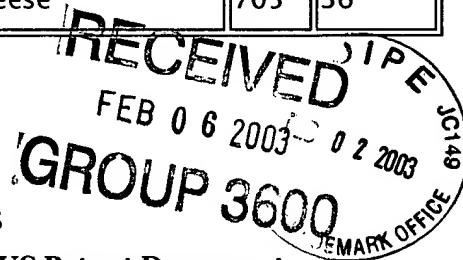
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Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
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NA	P02	5132899	1992-07-21		Fox	364	408
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	P04	5675746	1997-10-07		Marshall	395	235
	P05	5749077	1998-05-05		Campbell	705	36
NA	P06	5918217	1999-06-29		Maggioncalda et al.	705	36



N	P07	5948054	1999-09-07		Niezen	709	200
	P08	5950176	1999-09-07		Keiser et al.	705	37
	P09	5956691	1999-09-21		Powers	705	4
	P10	6012042	2000-01-04		Black et al.	705	36
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Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
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N	U02	20020022988	2002-02-21		Columbus et al.	705	11
N	U03	20020082966	2002-06-27		O'Brien et al.	705	36

## Signature

Examiner Name	Date
N. Subraman	8/18/03



